

IAP9 Rec'd PCT/PTO 27 MAR 2008

Docket No. 286649US0PCT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: Stephan HUEFFER, et al.

SERIAL NO: New U.S. PCT Application Based on PCT/EP04/10491

GAU:

FILED: Herewith

EXAMINER:

FOR: AQUEOUS DISPERSIONS OF COPOLYMERS, PRODUCTION THEREOF AND USE OF THE SAME

## INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97

COMMISSIONER FOR PATENTS  
ALEXANDRIA, VIRGINIA 22313

SIR:

Applicant(s) wish to disclose the following information.

## REFERENCES

- ☒ The applicant(s) wish to make of record the references listed on the attached form PTO-1449. Copies of the listed references are attached, where required, as are either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

## RELATED CASES

- ☒ Attached is a list of applicant's pending application(s), published application(s) or issued patent(s) which may be related to the present application. In accordance with the waiver of 37 CFR 1.98 dated September 21, 2004, copies of the cited pending applications are not provided. Cited published and/or issued patents, if any, are listed on the attached PTO form 1449.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

## CERTIFICATION

- ☐ Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

## DEPOSIT ACCOUNT

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check or credit card payment is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

Norman F. Oblon

Registration No. 24,618

Customer Number

22850

Tel. (703) 413-3000  
Fax. (703) 413-2220  
(OSMMN 05/03)

Surinder Sachar

Registration No. 34,423

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: Stephan HUEFFER, et al.

SERIAL NO: New U.S. PCT Application Based on PCT/EP04/10491

GAU:

FILED: Herewith

EXAMINER:

FOR: AQUEOUS DISPERSIONS OF COPOLYMERS, PRODUCTION THEREOF AND USE OF THE SAME

INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97

COMMISSIONER FOR PATENTS  
ALEXANDRIA, VIRGINIA 22313

SIR:

Applicant(s) wish to disclose the following information.

REFERENCES

- ☒ The applicant(s) wish to make of record the references listed on the attached form PTO-1449. Copies of the listed references are attached, where required, as are either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

RELATED CASES

- ☒ Attached is a list of applicant's pending application(s), published application(s) or issued patent(s) which may be related to the present application. In accordance with the waiver of 37 CFR 1.98 dated September 21, 2004, copies of the cited pending applications are not provided. Cited published and/or issued patents, if any, are listed on the attached PTO form 1449.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

CERTIFICATION


- ☐ Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

DEPOSIT ACCOUNT

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check or credit card payment is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

  
\_\_\_\_\_  
Norman F. Oblon

Registration No. 24,618

Customer Number

22850

Tel. (703) 413-3000  
Fax. (703) 413-2220  
(OSMMN 05/03)

Surinder Sachar

Registration No. 34,423

10/573708

IAP9 Rec'd PCT/PTO 27 MAR 2006

Form PTO 1449 (Modified)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY DOCKET NO. <b>286649US0PCT</b>		SERIAL NO. New U.S. PCT Application Based on PCT/EP04/10491	
LIST OF REFERENCES CITED BY APPLICANT				APPLICANT Stephan HUEFFER, et al.			
				FILING DATE Herewith		GROUP	
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	AA	6 336 942	01/08/02	DANISCH et al.			
	AB	6 114 512	09/05/00	SCHROEDER et al.			
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						
<b>FOREIGN PATENT DOCUMENTS</b>							
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION YES                  NO		
	AL	96/28483	09/19/96	WO (with English abstract & equivalent of US6 336 942)			NO
	AM	03/023070	03/20/03	WO (with English abstract & equivalent of US2004/0194222)			NO
	AN	95/07944	03/23/95	WO (with English abstract & equivalent of US6 284 716)			NO
	AO	1 022 293	07/26/00	EP (equivalent of US6 458 174)			NO
	AP	90/03359	04/05/90	WO			NO
	AQ	0 657 475	06/14/95	EP (equivalent of US5 616 668)			NO
	AR	01/55059	08/02/01	WO (with English abstract & equivalent of US2004/0024159)			NO
	AS	27 02 604	07/27/78	DE (equivalent of US4 152 499)			NO
	AT	96/23751	08/08/96	WO (with English abstract)			NO
	AU	99/67347	12/29/99	WO (with English abstract)			NO
	AV	0 970 148	06/13/01	EP (equivalent of US6 114 512)			NO
<b>OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)</b>							
	AW	Ullmann's Encyclopedia of industrial Chemistry, Band A15, Seite 259-282, 5. Auflage, (1990), Verlag Chemie Weinheim.					
	AX						
	AY						
	AZ					<input type="checkbox"/> Additional References sheet(s) attached	
Examiner					Date Considered		
*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							

New U.S. PCT Application Based on PCT/EP04/10491

Stephan HUEFFER, et al.

Docket No. 286649 US

STATEMENT OF RELEVANCY

- 1) References AL - AO have been cited in the International Search Report. A copy of these references is being submitted herewith.
- 2) References            have been cited in the corresponding            Search Report. A copy of these references is being submitted herewith.
- 3) References AP - AV & AW are discussed in the specification. A copy of these references is being submitted herewith.
- 4) References            are additional prior art known to Applicant. A copy of these references is being submitted herewith.

IAP9 Rec'd PCT/PTO 27 MAR 2006

	Docket No.: 286649US0PCT	Serial No.: New Application
LIST OF RELATED CASES CITED BY APPLICANT UNDER 37 CFR 1.56	Inventor: Stephan HUEFFER, et al.	
	Filing Date: Herewith	Group:

**LIST OF RELATED CASES**

<u>Examiner Initial</u>	<u>Docket No.</u>	<u>Serial or Patent Number</u>	<u>Filing or Issue Date</u>	<u>Patent App. Publication No.</u>	<u>Inventor or Applicant</u>
	0524-2784-0PCT	6,336,942	01/08/02		DANISCH, et al.
	PER CLIENT	08/875,415	UNKNOWN		UNKNOWN
	PER CLIENT	09/701,887	UNKNOWN		UNKNOWN
	0524-3171-0PCT	6,114,512	09/05/00		SCHRODER, et al.

Examiner

Date Considered

NFO/hah